

0075594 01034

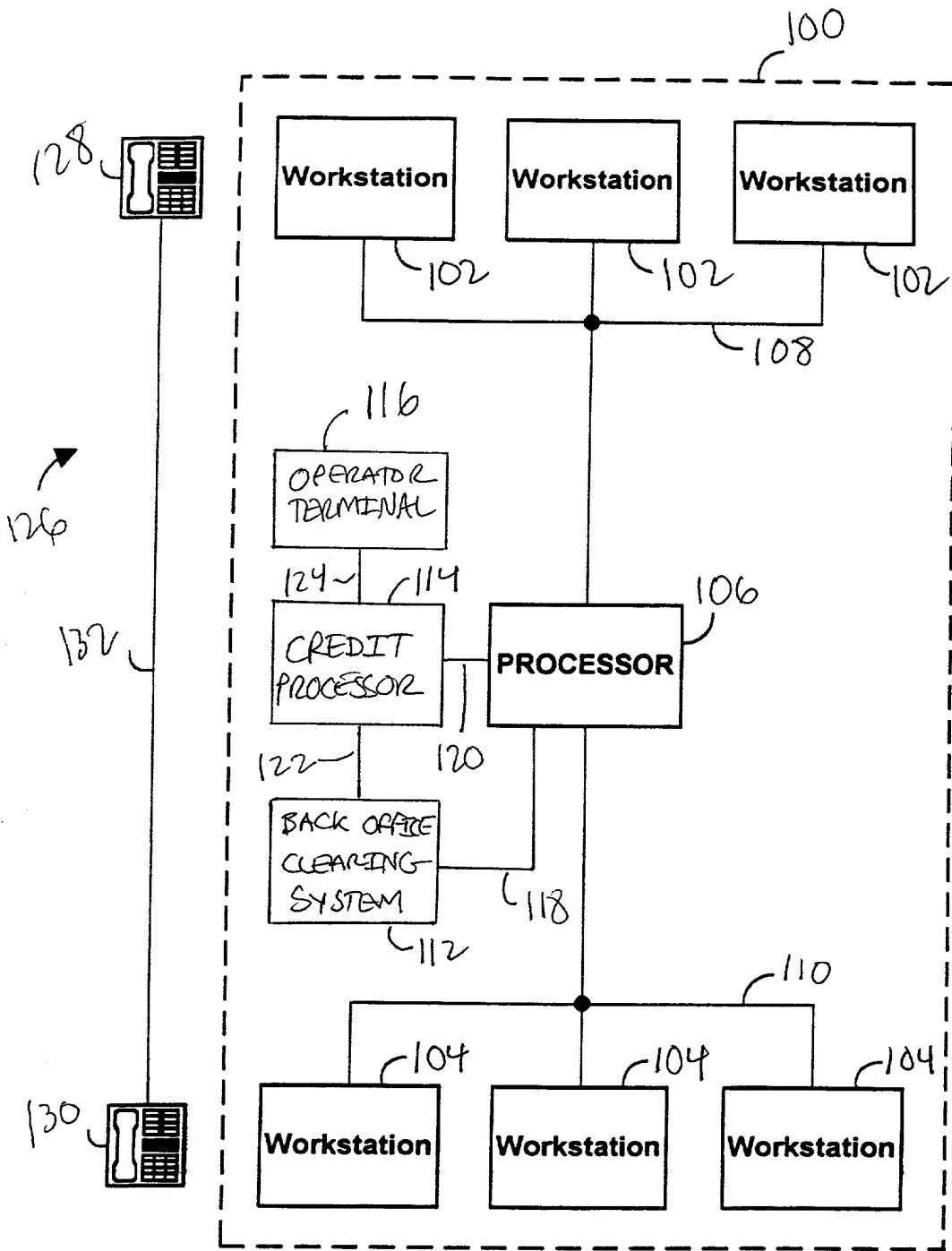
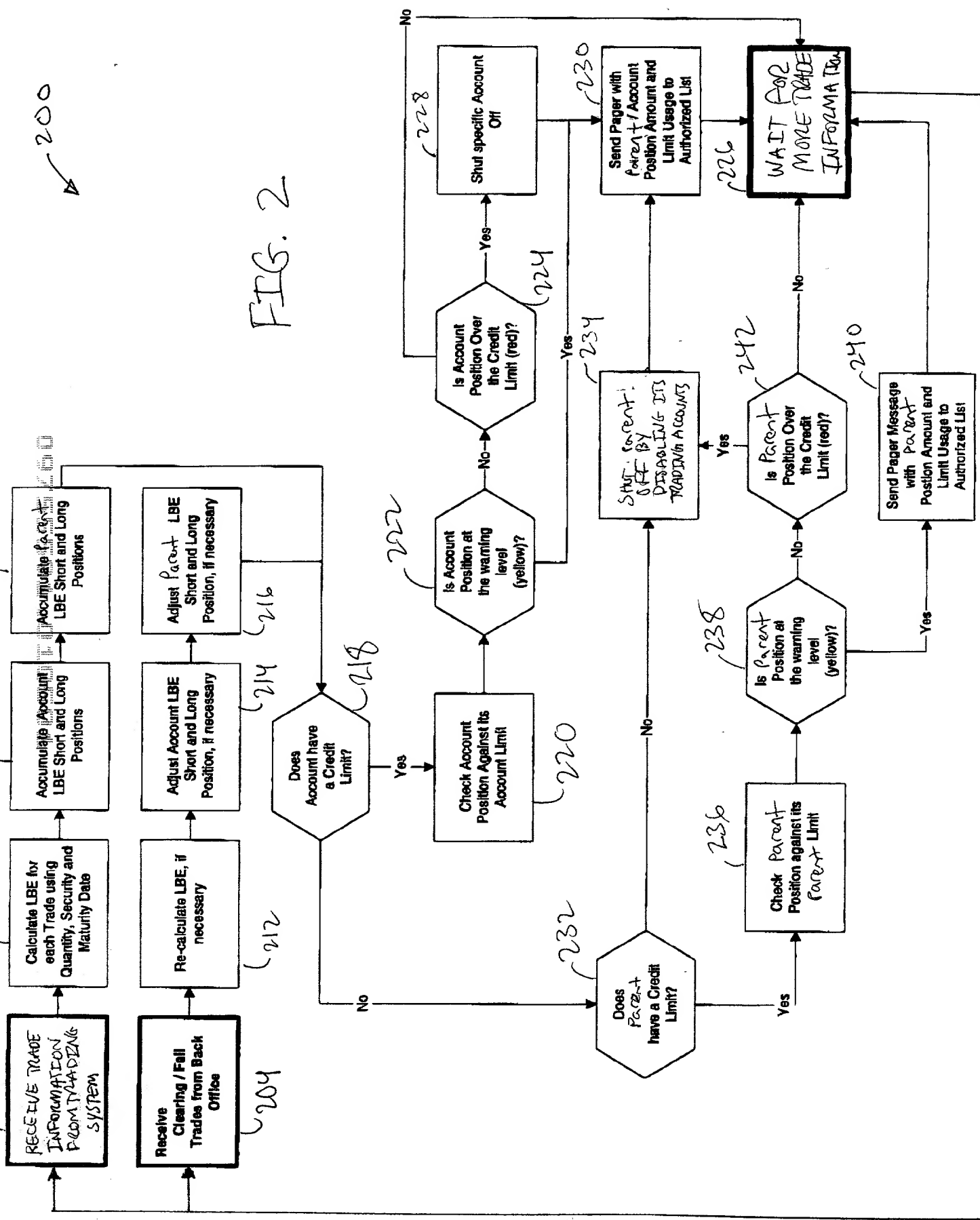


FIG. 1



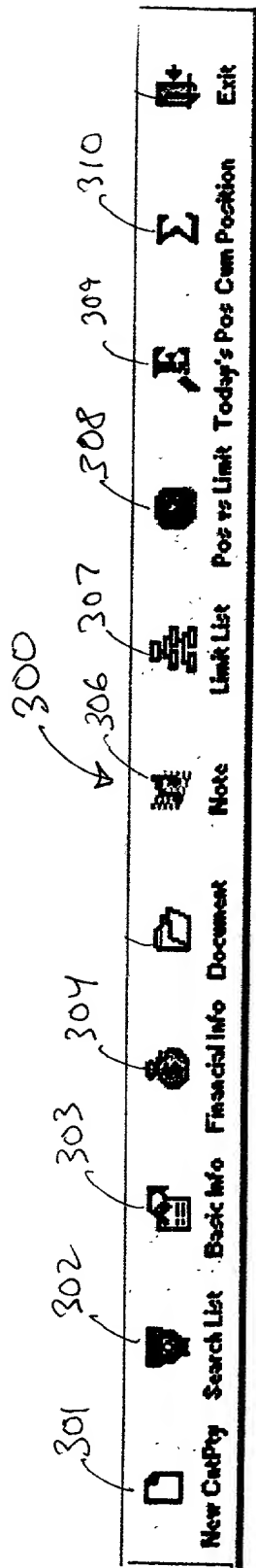


FIG. 3

Edit Basic Information for CounterParty

Basic Information

CounterParty ID: 1788 Credit Status: FROZEN

CounterParty Name: REPUBLIC TRADING

Short Name: RETRADE - 428 426

Date Formed: 00/00/0000 Rpt Cntry Code: TOGO

Tax Nbr: 123 456 7890 - 434 New Branches: 9

Type: ☐ Parent ☒ Legal Entity - 438 436

Parent Name: REPUBLIC HOLDINGS

Date Modified: 08/12/1999 17:01:11 User Modified: JONES - 446

Contact Information

Name: JOHN SMITH Dept: ACCOUNTING

phone 555 - 1234 Title: VP

Parent Information

Parent ID: 1661 - 448 Classification: HOLDING COMPANY - 450

Parent Name: REPUBLIC HOLDINGS - 452

State: - 454 Country: ITALY - 456

Geo.Region: Europe - 458

Address Information

Type: CREDIT MAILING

Addr Street1: 1 MAIN STREET

Addr Street2: SUITE 100

City: NEW YORK

State: NY Postal Code: 10001

Country: UNITED STATES

Geo.Region: North America

Descriptor Information

CLASSIFICATION PRIMARY DEALER

Link To:

Save

Contact

Address

Descriptor

Close

FIG. 4

500

Countert Party Contact Information

REPUBLIC TRADING

Contact Information

First Name: JOHN

Middle Initial: ☐

Contact Id: 76

Last Name: SMITH

User Modified: vcoughn

Date Modified: 12/22/1999 16:05:22

Gender: ☒ M ☐ F

Dept: ACCOUNTING

Title: VP

phone: 212-555-1234

Position: CREDIT MANAGER

Save

Delete

Close

FIG. 5

600

602 → **604**

608 →

614 → **616**

610 → **612**

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602 → **604**

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614 → **616**

610 → **612**

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e

700

Select CounterParty

View Options

☒ CounterParty List

☐ Parent TreeView

ID	CounterParty Name	Classification	Credit Stg	State	City	Geo. Region	Typ	Rpt Country	Parent Name
1708	REPUBLIC TRADING	PRIMARY DEALER	FROZEN	NY	UNITED STATES	North America	LE	TOGO	REPUBLIC HOLDINGS
1731	READY TRADE	PRIMARY DEALER	OPEN	NY	UNITED STATES	North America	LE		READY EMPLOYEES
845	RESEARCH FINANCIAL	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	North America	LE		
836	REPOS UNLIMITED	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	North America	P		

Row COUNT 20

ROW MANIPULATION

RETRIEVE

CLEAR

select

close

702

708 710 712 714 716 718 720 722 724

706

748

704

754

726

728

750 756

752

744

740 742

738

736

734

732

730

758 760

746

FIG. 7

Select CounterParty

View Options

☐ CounterParty List

☒ Parent TreeView

802-804

806

808

Legal Entry List

810

812

1661 REPUBLIC HOLDINGS

1665 READY ENTERPRISES

1791 READY TRADE

845 RESEARCH FINANCIAL

836 REPOS UN LIMITED

Additional Information

814

816

818

CounterParty Information

CounterParty ID: 845 Classification: UNCLASSIFIED

CounterParty Name: RESEARCH FINANCIAL

State: NY Country: UNITED STATES

Geo.Region: North America

Last Financial Statement

Statement ID: 65 Date: 12/22/1999 Status: AUDITED

Parent Information

Parent ID: Classification:

Parent Name:

State: Country:

Geo.Region:

820

822

SELECT

CLOSE

FIG. 8

REPUBLIC TRADING

Statement List

Id Stmt	Dt Stmt	Stat Status	Cncy	Id User	Dt Modified
6512/22/1999	AUDITED	USD	voughll	12/22/1999	16:10:30

906

A ↑

902

Statement Detail

Statement Id: 65 Stmt Dt: 12/22/1999

Dt Modified: 12/22/1999 16:10:30 Status: AUDITED

User Id: voughll Currency: USD

CASH/CASH EQUIVALENTS	66,000
SECURITIES OWNED	88,000
SECURITIES BORROWED	77,000
REVERSE REPOS	55,666
RECEIVABLE FROM B/D	76,576
FAILED TO DELIVER	989
RECEIVABLE - OTHER	6,777
REPO	9,999
SECURITIES LOANED	8,888
BANK LOANS	7,777
PAYABLE TO B/D	7,654
PAYABLE TO CLEARING AGENT	33
LESS TREASURY STOCK	555
	666

↑

904

900

☐ Show All☐ Create Acc Stmt☐ Modify Acc Stmt Order

Save

Modify

New

Print

Close

908 910 912 914 916

FIG. 9

1004

10
H.G.

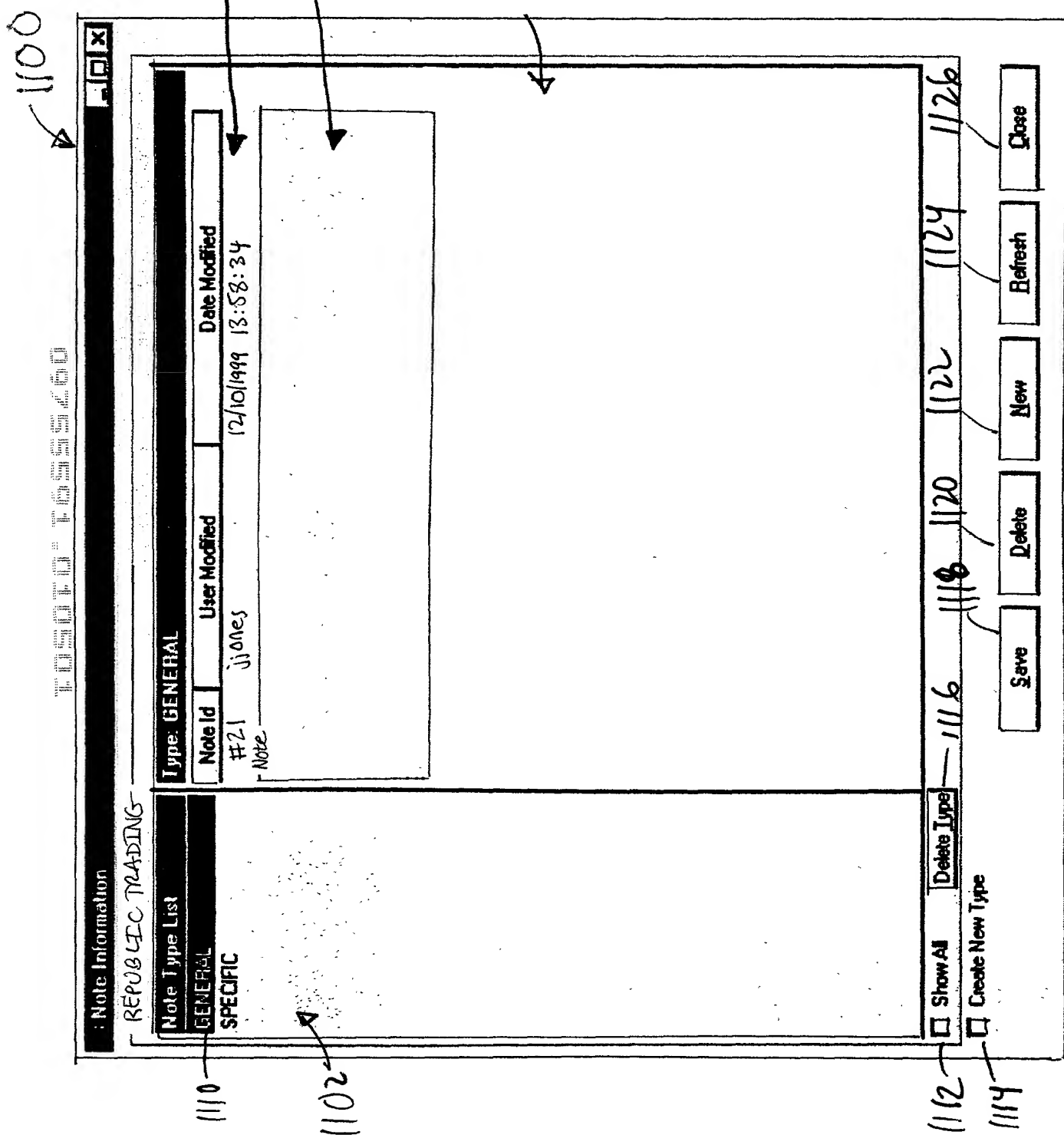


FIG. 11

FIG. 12

105040 1053360

1304

1300 1306

Account Limit List

REPUBLIC TRADING

Credit Lvl Limit for US TREASURY

LBE Net 3,000,000

MTM Net

LBE Gross 6,000,000

MTM Gross

VAR Net 0

Pnl Net

VAR Gross 0

Pnl Gross

Currency USD

Ind Liquid ☒

Shut Off ☐

Current Limit Typ: Presumed Stm 0

New Limit Typ: Presumed Stm 0

Int Warning: 70 Intvl x: 10

User Modified

Date Modified 08/06/1999 13:02

4 Account(s) without Account Level Limit: CrtPty Level Limit is applied

Export Print

Acct#	Account Name	BE Id	Id Broker	Active
31037	REPUBLIC TRADING	U559	KH	<input checked="" type="checkbox"/>
31038	REPUBLIC TRADING	G123	KH	<input checked="" type="checkbox"/>
31039	REPUBLIC TRADING	G122	KH	<input checked="" type="checkbox"/>
31034	REPUBLIC TRADING	G121	KH	<input checked="" type="checkbox"/>

Account#

Account Name

Active

Shut Off

LBE Net Limit

LBE Gross Limit

Pnl Net Limit

Pnl Gross Limit

Mtm Net Limit

Mtm Gross Limit

1789	REPUBLIC TRADING (800)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	1,000,000	2,000,000	0	0	0	0
1790	REPUBLIC TRADING (MINE)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	1,000,000	2,000,000	0	0	0	0

Row Count 2

☐ update mode

SAVE

MODIFY

NEW

Refresh

Print

Export

Close

1302

1308

1310 1311 1312

1314 1316

1318

1320

FIG. 13

1400

1401

1404 1406

Enter Limit

Limit Subcategory: US TRADER3027

Current Limit Type: Presumed Slin

LBE Net Limit: 30,000,000 ☐ Max

LBE Gross Limit: 60,000,000 ☐ Max

VAR Gross Limit: 0 ☐ Max

VAR Net Limit: 0 ☐ Max

MTM Gross Limit: 0 ☐ Max

MTM Net Limit: 1,000,000 ☐ Max

Principal Gross Limit: 0 ☐ Max

Principal Net Limit: 0 ☐ Max

Id Currency: USD

Initial Warning Level: 70%

Warning Interval: 10ys

Inv Liquidate: ☒ Yes ☐ No

Inv Shx Off: ☒ Yes ☐ No

User Modified: achidun

Date Modified: 08/10/1998 16:28:17

Save Done

FIG. 14

1504

1506 1508 1510

15051

1512

1514

POSITION VS LIMIT

LIMIT CATEGORY

US DEBT MARKETS

LIMIT SUBCAT

US TREASURY

EX FUTURES

OPTIONS

☐ SELECT ALL

☐ UNSELECT ALL

RETRIEVE

REFRESH

☐ MANUAL

☐ AUTO EVERY 30 SECS

POSITION US. LIMIT DATE 12/09/1999 14:04:07 PAGE 1 OF 1

CURRENCY	NAME	LIMIT TYPE	NEW LIMIT TYPE	LIMIT SUBCAT	SHORT ORC	% INIT	QTY	LBE NET POSITION	LBE NET LIMIT	% LBE NET
1788	REPUBLIC TRADING	PERMANENT LIMIT	PERMANENT LIMIT	CO FUTURES	<input type="checkbox"/>	70	400,000,000	40,000,000	200,000,000	20.00

ROW COUNT 1

ACCOUNT

TRANSACTION

PRESENT

CLOSE

1516 1518 1520

FIG. 15

105010 105010

1601 1600

Position vs. Limit Account Detail
READY TRADE

Account Level Position vs. Limit for DX FUTURES Date: 12/22/1999 16:38:41 Page 1 of 1

Account#	Account Name	Active	Strat %	Off	In	Qty	LBE Net Position	LBE Net Limit	LBE Gross Position	LBE Gross Limit
Total						101	-7,795,276		7,952,756	
9589ELECTRONIC 9589		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50	-3,937,008		3,937,008	
9587ELECTRONIC 9587		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	51	-3,858,268		4,015,748	

Row Count 12

Print Export Close

1602

1604

FIG. 16

1704

1700

Position vs Limit

LEADY TRADE

CX FUTURES : Limit vs Position Transactions Date: 12/22/1999 16:37:19 Page 1 of 1

Account Id	Id Security	Nm Security	Quantity	LBE	Principal	Price	MTM	VAR	Trade ID	Orgn	Tr Room	Buy/Sel	Stat	Fail
Total			101	-7,795,276	10,000									
9587	B 199906		25	-1,968,504	2,475	99,0000			1999101401169200002	2		SE	HO	ELB
9587	B 199906		25	-1,968,504	2,475	99,0000			1999101401169300002	2		SE	HO	ELB
9589	B 199906		25	-1,968,504	2,475	99,0000			1999101401169400002	2		SE	HO	ELB
9589	B 199906		25	-1,968,504	2,475	99,0000			1999101401169500002	2		SE	HO	ELB
9587	B 199906		1	78,740	100	100.3438			1999101401169000001	2		BU	HO	ELB

Row Count 5

Print

Export

Close

1706

FIG. 17

1702

1800

1806

1804

SELECT LIMIT CAT
USD EBT MARKETS

SUBCAT LIST
US TREASURY
CX FUTURES

OPTIONS
SELECT ALL
UNSELECT ALL
REMOVE

REPORT

⊙ AUTOMATIC every 30 sec
⊙ MANUAL

Today's Position Date: 12/22/1999 16:44:21 Page 1 of 18

Id	Currency	CounterParty Name	Unit Subcategory	Quantity	Lbe Net Position	Lbe Gross Position	LBE Long Pos	LBE Short Pos	Var Net Position
Total				35,452	0	2,984,722,799	1,492,361,400	1,492,361,400	0
1784	RONOY TRADE		CX FUTURES	101	-7,952,756	7,952,756	78,740	7,874,016	0

ROW COUNT 1

ACCOUNT

TRANSACTION

PRINT

CLOSE

1808

1810

FIG. 18

1802

1900

1904

Fig. 1

A
1902

16050100 16050200

2004 2006

2000

Cumulative Position

Limit Category
US DEBT MARKETS

Limit Subcategory
US TREASURY
EX-FUTURES

Options
☒ Select All
☐ Unselect All

Retrieve

Refresh
☒ Automatic every 30 sec
☐ Manual

GO

Cumulative Position Date: 12/22/1999 16:47:58 Page 1 of 86

Id	CounterParty Name	Limit Subcategory	Quantity	Lbe Net Position	Lbe Gross Position	LBE Long Pos	LBE Short Pos	Var Net Position
Total			3,802,635,452	181,028,943	5,632,923,827	2,906,976,385	2,725,947,442	0
6052 READY TRADE		US TREASURY	45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	0
1								

ROW COUNT 20

ACCOUNT TRANSACTION PRINT CLOSE

2002

2008

2010

FIG. 20

FIG. 21

2100

Cumulative Account Position

READY TO PRINT

Cumulative Account Position for US TREASURY Date: 12/22/1999 16:48:09 Page 1 of 1

Acct#	Account Name	Active	Qty	Lbs Net	Lbs Gross	Long Pos	Short Pos	Mtm Net
Total			45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	
9999 BOB		<input checked="" type="checkbox"/>	15,000,000	-1,562,500	7,812,500	3,125,000	4,687,500	
1001 MIKE		<input checked="" type="checkbox"/>	30,000,000	0	15,625,000	7,812,500	7,812,500	

Row Count 2

Print Export Close

2102

FIG. 21

2104